

**TITLE COMPANIES**

**COMPANY NAME:** \_\_\_\_\_ **NAIC Company Code:** \_\_\_\_\_

**Contact:** \_\_\_\_\_ **Telephone:** \_\_\_\_\_ **E-MAIL:** \_\_\_\_\_

**REQUIRED FILINGS IN THE STATE OF:** ARIZONA **Filings Made During the Year 2006**

(1) Check-List	(2) Line #	(3) REQUIRED FILING FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		<b>I. NAIC FINANCIAL STATEMENTS</b>						
	1	Annual Statement (8 1/2" x 14")	2	1	1	3/1 Foreign 3/31 Domestic	NAIC	A TO R
	1.1	Printed Investment Schedule detail (Pages E01-E25)	2	1	xxx	3/1 Foreign 3/31 Domestic	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	1	1	xxx	5/15, 8/15, 11/15	NAIC	F, O
		<b>II. NAIC SUPPLEMENTS</b>						
	11	Investment Risk Interrogatories	2	1	1	4/1	NAIC	
	12	Management Discussion & Analysis	2	1	1	4/1	Company	F, O
	13	Schedule SIS	2	N/A	N/A	3/1 Foreign 3/31 Domestic	NAIC	
	14	Statement of Actuarial Opinion	2	1	1	3/1 Foreign 3/31 Domestic	Company	
	15	Supplemental Compensation Exhibit	2	N/A	N/A	3/1	NAIC	
	16	Supplemental Schedule of Business Written By Agency	2	1	1	4/1	NAIC	
		<b>III. ELECTRONIC FILING REQUIREMENTS</b>						
	30	Annual Statement Electronic Filing	xxx	1	xxx	3/1 Foreign 3/31 Domestic	NAIC	P
	31	March .PDF Filing	xxx	1	xxx	3/1 Foreign 3/31 Domestic	NAIC	
	32	Supplemental Electronic Filing	xxx	1	xxx	4/1	NAIC	P
	33	Supplemental .PDF Filing	xxx	1	xxx	4/1	NAIC	
	34	Quarterly Electronic Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	P
	35	Quarterly .PDF Filing	xxx	1	xxx	5/15, 8/15, 11/15	NAIC	
	36	June .PDF Filing	xxx	1	xxx	6/1	NAIC	
		<b>IV. AUDITED FINANCIAL STATEMENTS</b>						
	51	Accountants Letter of Qualifications	1	N/A	N/A	6/1	Company	
	52	Audited Financial Statements	1	1	1	6/1	Company	F, O
	53	Audited Financial Statements Exemption Affidavit	1	N/A	1	6/1	Company	
	54	Independent CPA	1	N/A	N/A	6/1	Company	
	55	Notification of Adverse Financial Condition	1	N/A	1	6/1	Company	
	56	Report of Significant Deficiencies in Internal Controls	1	N/A	1	6/1	Company	
	57	Request for Exemption to File	1	N/A	N/A	5/31	Company	
		<b>V. STATE REQUIRED FILINGS</b>						
	101	Filings Checklist (with Column 1 completed)	0	1	0	3/1 Foreign 3/31 Domestic	State	
	102	State Filing Fees	1	0	1	3/1 Foreign 3/31 Domestic	State	C, F, Q
	103	Signed Jurat	0	xxx	0	3/1 Foreign 3/31 Domestic	NAIC	L
	104	Premium Tax	*	0	*	See "D" on Page2	State	D
	105	Annual Statement Filing Worksheet Form E-WORKSHEET.DOMESTIC	2	0	0	3/31	State	O
	106	Annual Statement Filing Worksheet Form E-WORKSHEET.FOREIGN	0	0	1	3/1	State	O
	107	Audited Financial Report Transmittal Filing Form E-AFR	1	0	1	6/1	State	O
	108	Certificate of Compliance	0	0	1	3/1	State	O
	109	Certificate of Deposit	0	0	1	3/1	State	O
	110	Certificate of Disclosure Form E-178	2	0	1	3/1 Foreign 3/31 Domestic	State	F, O
	111	Form B & C Insurance Holding Company System Registration Statement	1	0	N/A	3/31	State	S
	112	Management Discussion and Analysis Transmittal Form E-MDA	2	0	1	4/1	State	F, O
	113	Records Location Information Form E-176	1	0	0	3/1	State	O

\*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and the NAIC and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state.

\*\*If Form Source is NAIC, the form should be obtained from the appropriate vendor.

If "0" in Domestic State, NAIC or Foreign State column filing is not required

		<b>NOTES AND INSTRUCTIONS (A-K APPLY TO ALL FILINGS)</b>	<b>OBTAIN AND READ DEPARTMENTS DETAIL INSTRUCTIONS ON OUR WEB SITE AT <a href="http://www.id.state.az.us/annforms.html">http://www.id.state.az.us/annforms.html</a></b>
	A	Required Filings Contact Person:	Rose McNabb (602) 364-3985 OR E-mail <a href="mailto:rmcnabb@id.state.az.us">rmcnabb@id.state.az.us</a>
	B	Mailing Address:	Arizona Department of Insurance Attn: Annual Statement Coordinator Financial Affairs Division 2910 North 44 <sup>th</sup> Street, Suite 210 Phoenix, AZ 85018-7269
	C	Mailing Address for Filing Fees:  Foreign due 3/01. Domestic due 3/31.  Amounts specified in Annual Fees Report forms on our web site at <a href="http://www.id.state.az.us/taxforms.html">http://www.id.state.az.us/taxforms.html</a>	Arizona Department of Insurance Attn: Tax Unit Financial Affairs Division 2910 North 44 <sup>th</sup> Street, Suite 210 Phoenix, AZ 85018-7269
	D	Mailing Address for Retaliatory Tax Payments:  Title Insurers pay corporate income tax to AZ Dept of Revenue instead of premium tax, but Foreign Title Insurers must file a Retaliatory Tax Report by 4/15 or 10/15 with a filed extension.  See notes C and P for fees.  Obtain Tax and Fees Report forms on our web site at <a href="http://www.id.state.az.us/taxforms.html">http://www.id.state.az.us/taxforms.html</a>	Arizona Department of Insurance Attn: Tax Unit Financial Affairs Division 2910 North 44 <sup>th</sup> Street, Suite 210 Phoenix, AZ 85018-7269  <u>Contact Persons for Annual Premium Taxes:</u> Gordon Thoreson (602) 364-3245 OR Richard Johnson (602) 364-3247 <u>Contact Person for Installment Tax:</u> June Denise Bittner (602) 364-3246
	E	Delivery Instructions:	DOMESTIC COMPANIES DUE 3/31 FOREIGN COMPANIES DUE 3/1 All packages must bear U.S. postmark or courier service pick-up date no later than the indicated due date.  If the due date falls on a weekend or holiday, then the deadline is extended to the next business day.
	F	Late Filings:  License will be summarily suspended if Certificate of Authority renewal fee is not paid when due or if financial condition is unknown due to failure to file annual statement.	Penalties are assessed to date of receipt as follows: Up to \$25.00 per day – Annual Statement, Actuarial Opinion, Management, Discussion and Analysis, annual fees or other deficiencies described in Forms E-INSTRUCTION.DOMESTIC and E-INSTRUCTION.FOREIGN. Up to \$25.00 per day – Certificate of Disclosure Form E-178. Up to \$100.00 per day – Quarterly Statements. Up to \$25.00 per day – Audited Financial Report. In all cases, the Department of Insurance uses the USPS postmark as the date filed.
	G	Original Signatures:	<u>DOMESTIC:</u> Original signatures are required on all filings except for the Duplicate Annual Statement. <u>FOREIGN:</u> Signers names and titles must appear on Jurat Page, but original signatures are not required.
	H	Signature/Notarization/Certification:	<u>NOTARIZED SIGNATURES OF AT LEAST TWO (2) EXECUTIVE OFFICERS, WHO ARE LISTED ON THE JURAT PAGE.</u>
	I	Amended Filings:	Amended items must be filed within 10 days of their amendment, along with an explanation of the amendments. If there are signature requirements for the original filing, same should be followed for any amendment..
	J	Exceptions from normal filings:	<u>EXEMPTIONS:</u> Annual Statement filing exemption – NONE.

			AFR exemption according to NAIC Instructions <u>EXTENSIONS:</u> Approved for a catastrophic event only.
	K	Bar Codes (State or NAIC)	NAIC instructions.
	L	Signed Jurat	Not applicable. All insurers must file hard copy Annual Statement.
	M	NONE Filings:	Every page of the annual statement should be accounted for in consecutive page number order. If several consecutive pages are "None," or, in case of some investment schedules which are not filed in hard copy in all states, the appropriate page numbers with exhibit or schedule headings may be listed on one page and the page inserted in the appropriate location in the annual statement. See NAIC Annual Statement Instructions for Supplemental Interrogatories. Exceptions to these instructions are noted on the form. All State forms must be completed or stamped "None" if not entries on the form, and returned as instructed.
	N	Filings new, discontinued or modified materially since last year:	Annual Agent List filing requirement was repealed in effective August 2004. (HB 2232)
	O	Detailed filing instructions and forms: Available on our web site at <a href="http://www.id.state.az.us/annforms.html">http://www.id.state.az.us/annforms.html</a>	See Forms E-INSTRUCTION.DOMESTIC and E-INSTRUCTION.FOREIGN
	P	DISKETTE FILINGS:	<b>Diskette Filings are not required with Arizona.</b> Must be filed with the NAIC if not filing via Internet.
	Q	State Filing Fees: Due 3/1 for Foreign, due 3/31 for Domestic	Refer to the Tax Report Forms and Instructions available on our web site <a href="http://www.id.state.az.us/taxforms.html">http://www.id.state.az.us/taxforms.html</a>
	R	Quarterly Financial Statements	Foreign Insurers, <u>except</u> Mortgage Guaranty Insurers, <b>ARE NOT REQUIRED</b> to file Quarterly Statements with the Arizona Department of Insurance. Foreign Insurers must file Quarterly Statements with NAIC and state of domicile.
	S	Form B & C Insurance Holding Company System Registration Statement	DOMESTIC INSURERS ONLY: Refer to Forms E-185, E-185B, E-185C, E-185D, E-185XD and E-110, available on our web site at <a href="http://www.id.state.az.us/corp_misc.html">http://www.id.state.az.us/corp_misc.html</a>

**General Instructions  
For Companies to Use Checklist**

**Please Note:** This state's instructions for companies to file with the NAIC are included in this Checklist. The NAIC will send mailing labels and other information to all companies but will not be sending their own checklist this year.

**Electronic filing is intended to include filing via the Internet or filing via diskette with the NAIC. Companies that file with the NAIC via the Internet are not required to submit diskettes to the NAIC.**

**Column (1) (Checklist)**

Companies may use the checklist to submit to a state, if the state requests it. Companies should copy the checklist and place an "x" in this column when mailing information to the state.

**Column (2) (Line #)**

Line # refers to a standard filing number used for easy reference. This line number may change from year to year.

**Column (3) (Required Filings)**

Name of item or form to be filed.

The **March Electronic Filing** includes all annual statement data, detail for investment schedules, Officers and Directors Information and all supplements due March 1.

The **March .PDF Filing** is the .pdf file for the annual statement, detail for investment schedules and all supplements due March 1.

The **Supplemental Electronic Filing** includes all supplements due April 1, per the *Annual Statement Instructions*.

The **Supplemental .PDF Filing** is the .pdf file for all supplements due April 1.

The **June .PDF Filing** is the .pdf file for the Audited Financial Statements.

**Column (4) (Number of Copies)**

Indicates the number of copies that each foreign or domestic company is required to file for each type of form. The Blanks (E) Task Force modified the 1999 *Annual Statement Instructions* to waive paper filings of certain NAIC supplements and certain investment schedule detail, if such investment schedule data is available to the states via the NAIC database. The checklists reflect this action taken by the Blanks (EX4) Task Force. XXX appears in the "Number of Copies" "Foreign" column for the appropriate schedules and exhibits. **Some states have chosen to waive printed quarterly and annual statements from their foreign insurers and to rely upon the NAIC database for these filings. This waiver could include supplemental annual statement filings. The XXX in this column might signify that the state has waived the paper filing of the annual statement and all supplements.**

**Column (5) (Due Date)**

Indicates the date on which the company must file the form.

**Column (6) (Form Source)**

This column contains one of three words: "NAIC," "State," or "Company." If this column contains "NAIC," the company must obtain the forms from the appropriate vendor. If this column contains "State," the state will provide the forms with the filing instructions (generally, on its web site). If this column contains "Company," the company, or its representative (e.g., its CPA firm), is expected to provide the form based upon the appropriate state instructions or the NAIC *Annual Statement Instructions*.

**Column (7) (Applicable Notes)**

This column contains references to the Notes to the Instructions that apply to each item listed on the checklist. The company should carefully read these notes before submitting a filing.